

12-10-01

Please type plus (+) inside this box → ⊕

10/19/01

796 U.S. PRO

UTILITY
PATENT APPLICATION
TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.	AP33635
First Inventor	Kravitz, D.
Title	System and Method * see attached
Express Mail Label No.	EF321681015US

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original and a duplicate for fee processing)
2. ☒ Applicant claims small entity status.
See 37 CFR 1.27.
3. ☒ Specification [Total Pages **32**]
(preferred arrangement set forth below)
- Descriptive title of the invention
 - Cross Reference to Related Applications
 - Statement Regarding Fed sponsored R & D
 - Reference to sequence listing, a table, or a computer program listing appendix
 - Background of the Invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description
- ☒ Claim(s) [Total Sheets **15**]
- ☒ Abstract of the Disclosure [Total Sheets **1**]
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets **5**]
5. Oath or Declaration [Total Pages **1**]
- a. ☐ Newly executed (original or copy)
- b. ☐ Copy from a prior application (37 CFR 1.63 (d))
(for continuation/divisional with Box 18 completed)
- i. ☐ **DELETION OF INVENTOR(S)**
Signed statement attached deleting inventor(s)
named in the prior application, see 37 CFR
1.63(d)(2) and 1.33(b).
6. ☐ Application Data Sheet. See 37 CFR 1.76

ADDRESS TO:

Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

7. ☐ CD-ROM or CD-R in duplicate, large table or
Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission
(if applicable, all necessary)
- a. ☐ Computer Readable Form (CRF)
- b. Specification Sequence Listing on:
- i. ☐ CD-ROM or CD-R (2 copies); or
- ii. ☐ paper
- c. ☐ Statements verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

9. ☒ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement (when there is an assignee) ☐ Power of Attorney
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)
(Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s)
(if foreign priority is claimed)
16. ☐ Request and Certification under 35 U.S.C. 122
(b)(2)(B)(i). Applicant must attach form PTO/SB/35
or its equivalent.
17. ☐ Other: _____

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.: _____

Prior application information: Examiner _____

Group Art Unit: _____

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

19. CORRESPONDENCE ADDRESS

☒ Customer Number or Bar Code Label **21003** or ☐ Correspondence address below
(Insert Customer No. or Attach bar code label here)

Name

Address

City

State

Zip Code

Country

Telephone

Fax

Name (Print/Type)

Jeffrey D. Sullivan

Registration No. (Attorney/Agent)

43,170

Signature

Jeffrey D. Sullivan

Date

10/19/01

10/19/01

10015004 101501

Addendum Sheet 1

*Question 4 Addendum

4.a. Drawings are ☐ formal ☒ informal

* Question 5 Addendum

5.c. ☐ An unsigned oath or declaration is included.

* Question 8 Addendum

8.d. ☐ A sequence submission will follow.

* Question 9 Addendum

9.a. ☐ Assignment documents will follow.9.b. ☐ Assignment documents have been filed in
parent application No.

* Question 11 Addendum

11.a. ☐ English translation will follow.

* Question 12 Addendum

12.a. ☐ Copies of IDS citations will follow.

* Question 15 Addendum

15.a. ☐ Certified copies of priority documents will follow.15.b. ☐ Certified copies of priority documents have been filed in parent
application No.

Use the space below for additional information

--

Title (continued):

System and Method For Managing Trust Between Clients and Servers

Addendum Sheet 2

18a. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP)

of prior application No.: _____

Prior application information:

Examiner _____

Group Art Unit: _____

18b. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP)

of prior application No.: _____

Prior application information:

Examiner _____

Group Art Unit: _____

18c. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP)

of prior application No.: _____

Prior application information:

Examiner _____

Group Art Unit: _____

☐ Amend the specification by inserting before the first line the sentence(s)

☐ "This application is a ☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of:

☐ "This application is based upon:

prior application No.: _____, incorporated by reference herein,

☐ which is a ☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of:

☐ which is based upon:

prior application No. _____, incorporated by reference herein,

☐ which is a ☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of:

☐ which is based upon:

prior application No.: _____, incorporated by reference herein,

☐ which is a ☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of:

☐ which is based upon:

prior application No.: _____, incorporated by reference herein,

☐ which is a ☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of:

☐ which is based upon:

prior application No. _____, incorporated by reference herein,

☐ which is a ☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of:

☐ which is based upon:

prior application No. _____, incorporated by reference herein

Priority under 35.U.S.C. §119 is claimed based upon the following applications.

Foreign Applications:

Country: _____

Serial No: _____

Filing Date: _____

Country: _____

Serial No: _____

Filing Date: _____

Country: _____

Serial No: _____

Filing Date: _____

Provisional Applications:

Serial No: 60/242,083

Filing Date: 10/20/00

Serial No: 60/246,843

Filing Date: 11/08/00

Serial No: _____

Filing Date: _____

FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT

(\$ 790

Complete if Known

Application Number

Filing Date

First Named Inventor Kravitz, D.

Examiner Name

Group Art Unit

Attorney Docket No. AP33635

METHOD OF PAYMENT

1. ☐ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit
Account
Number

02-4377

Deposit
Account
Name

Baker Botts LLP

- ☒ Charge Any Additional Fee Required
Under 37 CFR 1.16 and 1.17

- ☒ Applicant claims small entity status.
See 37 CFR 1.27

2. ☒ Payment Enclosed:

- ☒ Check ☐ Credit card ☐ Money
Order ☐ Other

FEE CALCULATION

1. BASIC FILING FEE

Large Entity Small Entity

Fee
(\$)

Fee
(\$)

Fee Description

Fee Paid

740

370

Utility filing fee

370

330

165

Design filing fee

510

255

Plant filing fee

740

370

Reissue filing fee

160

80

Provisional filing fee

SUBTOTAL (1) (\$ 370

2. EXTRA CLAIM FEES

Total Claims	Extra Claims	Fee from below	Fee Paid
34	20 ** = 14	9	126
Independent Claims	10	3 ** = 7	294
Multiple Dependent			

Large Entity Small Entity

Fee
(\$)

Fee
(\$)

Fee Description

18

9

Claims in excess of 20

84

42

Independent claims in excess of 3

280

140

Multiple dependent claim, if not paid

84

42

** Reissue independent claims
over original patent

18

9

** Reissue claims in excess of 20
and over original patent

SUBTOTAL (2)

(\$ 420

**or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large
Entity

Small
Entity

Fee
(\$)

Fee
(\$)

Fee Description

Fee Paid

130

65

Surcharge - late filing fee or oath

50

25

Surcharge - late provisional filing fee or
cover sheet

130

130

Non-English specification

2,520

2,520

For filing a request for *ex parte* reexamination

920*

920*

Requesting publication of SIR prior to
Examiner action

1,840*

1,840*

Requesting publication of SIR after
Examiner action

110

55

Extension for reply within first month

400

200

Extension for reply within second month

920

460

Extension for reply within third month

1,440

720

Extension for reply within fourth month

1,960

980

Extension for reply within fifth month

320

160

Notice of Appeal

320

160

Filing a brief in support of an appeal

280

140

Request for oral hearing

1,510

1,510

Petition to institute a public use proceeding

110

55

Petition to revive - unavoidable

1,280

640

Petition to revive - unintentional

1,280

640

Utility issue fee (or reissue)

460

230

Design issue fee

620

310

Plant issue fee

130

130

Petitions to the Commissioner

50

50

Processing fee under 37 CFR 1.17(q)

180

180

Submission of Information Disclosure Stmt

40

40

Recording each patent assignment per
property (times number of properties)

740

370

Filing a submission after final rejection
(37 CFR § 1.129(a))

740

370

For each additional invention to be
examined (37 CFR § 1.129(b))

740

370

Request for Continued Examination (RCE)

900

900

Request for expedited examination
of a design application

Other fee (specify)

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$ 0

SUBMITTED BY

Name (Print/Type)

Jeffrey D. Sullivan

Registration No.
(Attorney/Agent)

43,170

Complete (if applicable)

Telephone

(212) 408-2589

Signature

Jeffrey D. Sullivan

Date

10/19/01

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

CERTIFICATION UNDER 37 C.F.R. 1.8(a) OR 1.10*

(When using Express Mail, the Express Mail label number is mandatory; Express Mail Certification is optional.)

I hereby certify that, on the date shown below, this correspondence is being:

MAILING

- ☒ deposited with the United States Postal Service in an envelope addressed to the Assistant Commissioner for Patents, Washington D.C. 20231.

37 C.F.R. 1.8(a)

- ☐ with sufficient postage as first class mail.

37 C.F.R. 1.10*

- ☒ as "Express Mail Post Office to Address"
Mailing Label No. EF321681015US (mandatory)

Jeffrey D. Sullivan
Signature

Date: 10/19/01

Jeffrey D. Sullivan
(type or print name of person certifying)

***WARNING:** Each paper of fee filed by "Express Mail" must have the number of the "Express Mail" mailing label placed thereon prior to mailing 37 C.F.R. 1.10(b).
"Since the filing of correspondence under § 1.10 without the Express Mail label thereon is an oversight that can be avoided by the exercise of reasonable care, requests for waiver of this requirement will not be granted on petition. "Notice of Oct. 24, 1996, 60 Fed. Reg. 56,439, at 56,442.